

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
PUBLIC NOTICE OF VACANCY
ANNOUNCEMENT NUMBER: ESHA-04-151-FB**

Opening Date: September 13, 2004

Closing Date: September 24, 2004

SUPERVISORY STAFF ACCOUNTANT, SK-0510-15

(This is a non-bargaining unit position.)

GRADE/SALARY: SK-15 \$115,082- \$147,441

PERFORMANCE POTENTIAL: SK-15

VACANCIES: *One

WORK SCHEDULE: 40 Hours Per Week

LOCATION: Office of Compliance Inspections & Examinations
Branch of IA/IC Inspections No. 4
Washington, DC

*This vacancy will also be filled under ESHA-04-152-FB which is being advertised as a Supervisory Securities Compliance Examiner (SI), SK-1831-15.

This job is open to all U.S. citizens. Moving expenses will not be paid. Travel: 6-10 Nights Per Month

BENEFITS: SEC provides the following benefits - Thrift Savings Program, Federal Employees' Health Benefits Program, Work Life Programs, Federal Employees' Group Life Insurance Program, Annual and Sick Leave, Long Term Disability, and Flexible Spending Account (annual reimbursement of certain employee expenses).

SUMMARY OF DUTIES:

Serves as Branch Chief in the Branch of IA/IC Inspections, under the general supervision of the Assistant Director, providing day-to-day administrative and technical support to the examiners and accountants of the Branch. Makes work assignments and is responsible for insuring that the staff of the Branch acts as liaison with and provides necessary assistance to assigned offices. In this capacity, assures field offices are informed of regulatory and examination program changes relevant to their investment company or investment adviser examination role. Is responsible for analyzing and reporting the results of field examinations to identify situations suggesting a need for either regulatory change or enforcement action. Is responsible for examination objectives and to independently analyze industry developments. Is responsible for completing special projects assigned by the Associate Director and Assistant Director. Reviews and analyzes books, records, and financial statements of registrants.

WHAT ARE THE QUALIFICATION REQUIREMENTS?

Candidates must meet the minimum qualification requirements, which include the basic and specialized experience requirements described below to be considered for this position. These requirements are in accordance with the U.S. Office of Personnel Management Qualification Standards Handbook.

Basic Requirements: *Candidates must:*

1. Have a degree in accounting, business administration, finance, or public administration that included 24 semester hours in accounting and/or auditing subjects- 6 semester hours can be in business law; **OR**
2. Have four or more years of accounting/auditing experience; **OR**
3. Have an equivalent combination of accounting experience and college-level education.

Candidates who meet #2 and #3 above also must have:

- a) 24 semester hours in accounting/auditing courses (can include up to 6 semester hours of business law) **OR**
- b) Certification as a Certified Public Accountant or Certified Internal Auditor obtained through written examinations; **OR**
- c) Completed a degree with at least 15 semester hours in accounting/auditing, provided that the candidate has successfully worked at the full performance level in accounting, auditing, or a related field; **and** have certification from at least two higher level professional accountants or auditors that the candidate's accounting experience equals the knowledge associated with a 4-year accounting/auditing degree.

Specialized Experience: *In addition to meeting the basic requirements above, candidates must:*

Have at least four years of professional accounting/auditing experience **AND** 52 weeks of that experience must be specialized securities-related; organizing and planning IC/IA examinations; reviewing examination reports prepared by the staff and reports of financial condition filed by investment companies and investment advisers; citing deficiencies and making criticisms of

accounting and auditing practices; conducting conferences concerning problems. This experience may be obtained in a public company, public accounting firm or an organization that requires an in-depth knowledge of GAAP, GAAS, and their application to the preparation of analysis of financial statements submitted to the Securities and Exchange Commission and must be one year (52 weeks) at the GS/SK-13/14 or equivalent level in the federal service or the private sector, **AND** must demonstrate sufficient supervisory/managerial experience handling and leading large IC/IA registrants, knowledge of Securities Act 1933 and Securities Exchange Act of 1934 and specific knowledge IC/IA Advisers Acts of 1940 and rules, regulations, investigative techniques and procedures.

Candidates **MUST** submit with their application a copy or an original college transcript to substantiate the semester hours in accounting/auditing coursework.

Interagency Career Transition Assistance Plan (ICTAP): Current or former career federal employees who meet the requirements above will be evaluated against the following factor to determine if they are well qualified:

- Demonstrated securities-related experience organizing; planning, supervising and leading large examinations of IC/IA registrants; reviewing examination reports prepared by staff and reports of financial condition filed by investment companies and investment advisers; citing deficiencies and making criticisms of accounting and auditing practices; conducting conferences concerning problems; and in-depth knowledge of Investment Company and Investment Advisers Acts of 1940 and general knowledge of the Securities Act of 1933 and the Securities Exchange Act of 1934.

HOW TO APPLY

Please read the attached “**EMPLOYMENT GUIDE.**” If you do not submit all information as requested, you may lose consideration for the announcement. This information will allow us to determine if you meet all legal requirements for Federal employment and the qualifications for this position.

EQUAL EMPLOYMENT OPPORTUNITY

Candidates will be considered without regard to any non-merit reason such as race, color, religion, age, sex, national origin, or disability status. Disabled veterans, individuals with disabilities and veterans eligible for special OPM appointing authorities are strongly encouraged to apply.

REASONABLE ACCOMMODATION: The SEC provides reasonable accommodations to applicants with disabilities. If you need a reasonable accommodation for any part of application or hiring process, please notify the SEC’s Disabilities Coordinator in OHR. The decision on granting reasonable accommodation will be made on a case-by-case basis.

FOR ADDITIONAL VACANCIES THAT MAY BE AVAILABLE VISIT: www.sec.gov/jobs.shtml

Security Clearance: The individual selected may be subject to a security investigation. Favorable results on a Background Investigation may be a condition of employment or selection to another position.

New supervisors will be required to serve a one-year supervisory probationary period.

**ESHA JOB POSTING
EMPLOYMENT GUIDE
U.S. Securities and Exchange Commission
Office of Human Resources (Mail Stop 0-1)
6432 General Green Way
Alexandria, VA 22312**

Thoroughly read this guide and provide all information requested.

The information you give is very important because it will help us determine whether you meet the legal requirements for Federal employment and it allows us to evaluate your qualifications for the position.

JOB APPLICATION	<ul style="list-style-type: none">• Apply by submitting a résumé or <i>Optional Application for Federal Employment</i> (OF-612).• Place in the top right corner of <u>each</u> page of your application: job title, grade and job announcement number of the position for which you are applying.• Veterans should provide a copy of a DD-214 verifying honorable military service.• Provide your social security number, name, address, home and office phone numbers.• Applications received in postage-paid Government envelopes will not be considered and are a violation of Federal law and regulation. SEC will only accept FAX applications if there is evidence that they were not sent from Federal Government FAX machines.
LEGAL REQUIREMENTS	<ul style="list-style-type: none">• United States citizenship is required. You <u>must</u> state in your application that you are a U.S. citizen.• Males over age 18 born after December 31, 1959 must be registered with the Selective Service System or have an exemption.
EDUCATION & TRAINING	<ul style="list-style-type: none">• List any formal education received in an accredited institution. Give full name and address of high school, college, university, law school; type of certificate, diploma, or degree; grade point average; and month, year degree earned (or when you expect to earn your degree).• <u>You must submit with your application a copy of your college or university transcript.</u>
EXPERIENCE	<ul style="list-style-type: none">• List the job title of your position; name and address of employer; and, supervisor's name and telephone number. <u>You must show beginning and ending employment dates in month and year (i.e., March 2000, 3/00 or 3/2003). You must show average hours worked per week and starting, ending and/or present salary.</u>• Describe (with examples) any work experience related to the specialized experience required by the vacancy announcement. Be explicit about what work you did and what kinds of skills you used in doing it; evaluators of your qualifications cannot read meaning into what you write. Do not assume that the evaluator will understand what work you have done just based on your title, the kind of business you were involved in, or the name of your organization or company.• Indicate whether we may contact your present and previous employers.• If you are currently or were formerly employed as a civilian in the Federal Government, indicate the highest grade held.
EVALUATION PROCEDURES	<ul style="list-style-type: none">• A Human Resources Specialist will evaluate your application to determine whether you meet the minimum qualifications specified on the vacancy announcement. All minimally qualified candidates will be referred to the selecting official who will make the final hiring decision.

SPECIAL SELECTION PRIORITY	<ul style="list-style-type: none"> • This applies only to current or former career or career conditional Federal employees affected by reduction-in-force (RIF). Review your specific RIF notice about your rights and period of eligibility for special priority selection under the Interagency Career Transition Assistance Plan (ICTAP). • To receive special selection priority as a Federal employee, you must: (1) apply timely for a specific job announcement with no greater promotion potential than the position from which you have been or are being separated; (2) occupy or be displaced from a position in the same local commuting area of the vacancy for which you are requesting priority consideration; (3) have a current (or last) performance rating of record of at least fully successful; and (4) determined to be <u>well-qualified</u> as a displaced Federal employee for the SEC position. • If you meet the SEC's well-qualified criterion, your application will be referred to the selecting official before any other qualified candidate inside or outside the Federal Government.
FILING A JOB APPLICATION	<p>You may:</p> <ol style="list-style-type: none"> 1. Mail your application through the U.S. Postal Service. Mailed applications must be received by the closing date stated on the vacancy announcement. 2. Fax your application to the fax phone number listed below and must be received by 5:30 EST on the closing date specified on the vacancy announcement.
WHERE TO SEND YOUR APPLICATION	<p>U.S. Securities and Exchange Commission Office of Human Resources (Mail Stop 0-1) Attention: Delisia Carpenter 6432 General Green Way Alexandria, VA 22312 (Fax Number: 703-914-0556)</p>